

Appendix C



Message center

Client services - Taxes

From: phoenix545
To: Message Center Client Services
Date: 6:00am ET 3/22/2023

Form Message

FULL_NAME: Scott Traudt
ACCOUNT_TITLE: SCOTT CHRISTIAN TRAUDT
USERID: phoenix545
ACCOUNT_NUMBER: 270433744
User-Agent: Mozilla/5.0 (Macintosh; Intel Mac OS X 10_13_6) AppleWebKit/605.1.15 (KHTML, like Gecko)
Version/13.1.2 Safari/605.1.15
ENVIRONMENT: MOBI@AMER.OAUTHAP
CHOOSE_A_TOPIC: Client services
INQUIRY: Taxes

22 March 2023

Gentlemen:

Hey guys could you please send me the audio file (recording) of my conversation with Ron Fleming (Cameron Fleming might be his full name) who works at the St . Louis call center for TDA? I need to double check what he said about where to go for my tax information as last year TDA sent me everything far before the April 15th income tax deadline, and now I am unsure as to what portal to access. The call was on Monday, March 20 from about 4:55 to 5:10 pm EST and it was from my personal cell phone at 802-318-0429.

Can you also let me know if Ron's background was Series 7, Series 65, or other (Certified Financial Analyst, Planner, Market Technician, etc.?)

Thanks

Scott Traudt

S&P 500 -1.65%

DJIA -1.63%

NASDAQ -1.60%



Message center

Client services - Taxes

From: Message Center Client Services

To: scott545303

Date: 8:19am ET 3/22/2023

Dear Scott Traudt,

Thank you for contacting TD Ameritrade! My name is Mike and I hope you are having a good day so far. Your 1099 tax form can be located through the desktop website by going to the left side of the screen to My Account > Tax Center. Through the mobile app, you can download the form by going to Accounts > Docs > Tax Documents. Your tax document was posted online as of February 3,2023.

In regards to the phone call, we cannot provide a recorded copy of the call. Cameron is a specialist on the trade desk who holds his Series 63, Series 7 and Series 9 licenses. You can review his information on brokercheck.org.

Thank you for your business with TD Ameritrade! Answers to many of your questions might be found by going to Client Services > Help Center. Please reply here, give us a call or if you have additional questions and we would be happy to assist!

Michael Vaughn
Client Services

TD Ameritrade
1-800-669-3900

TD Ameritrade, Inc., member FINRA/SIPC. Not an offer or solicitation to conduct business in any jurisdiction where we are not authorized to do business. Communications may be subject to review.

Original Message Excluded:

(KMM134064794V87508L0KM)



Scott Traudt
@Greenhills303

...

#FINRAFRAUD and #MMTLP TD Ameritrade just told me (4:57 pm EST conversation with Ron Fleming, St. L-CC) that FINRA halted MMTLP when dark pool trades had hit 100X normal value and they nuked it with the U3 because "the share price bore no resemblance to the actual value"

5:11 PM · Mar 20, 2023 · 69.8K Views

Account Inquiry

X

Date: 01/28/2024 Account: Individual ...548 Category: Customer Service

From: SCOTT TRAUDT

Message #: 002DJauTJGBBUYTH

1 document

● Traudt_TDA_Message_3_first_half.png

Hello - I would like to get a playback of a March 20, 2023 conversation I had with broker Cameron Fleming played back for me on Monday, February 12th sometime in the afternoon. The conversation started at around 4:55pm EST and ended about 10 minutes later. I have some concerns about issues associated with my account after that phone call.

Thanks,
Scott Traudt
802-318-0429
Strafford VT

Account Inquiry Follow Up

Date: 01/31/2024 Account: Individual ...548 Category: Customer Service

From: Schwab Client Service

Message #: 06RNXHK5MX00NKG

Dear Mr. Traudt,

Thank you for your inquiry regarding wanting a playback of a conversation you had with a representative from last year. Regarding that phone call from March 20th, 2023 what specific questions in that call do you need more information on or what are your concerns? While we cannot provide a playback of the conversation, we can address any issues you have.

If you have any further questions, please start a live chat on Schwab.com or reply to this secure message. Our representatives are available at any time to assist you. We greatly appreciate your business.

Sincerely,

Jonathan Hayes
eServices Representative
Client Service & Support
1-800-435-4000

All interactions are subject to recordkeeping and monitoring. The Charles Schwab Corporation provides a full range of brokerage, banking and financial advisory services through its operating subsidiaries. Its broker-dealer subsidiary, Charles Schwab & Co., Inc. (Member SIPC), offers investment services and products, including Schwab brokerage accounts. Its banking subsidiaries, Charles Schwab Bank, SSB (Member FDIC and an Equal Housing Lender), Charles Schwab Premier Bank, SSB (Member FDIC) and Charles Schwab Trust Bank (Member FDIC), provide deposit and lending services and products. Investment Products: Not FDIC Insured • No Bank Guarantee • May Lose Value

Guard against identity theft by avoiding email and Internet fraud: Be aware that Schwab will never request or disclose your personal information (account number, login password, Social Security Number) in either a non-secure or unsolicited email communication.

X